

**Notice of References Cited**

Application/Control No.

10/077,182

Applicant(s)/Patent Under  
Reexamination  
BLOOM ET AL.

Examiner

Sara Chandler

Art Unit

3693

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**U.S. PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
*	A	US-2002/0004759	01-2002	Bradford et al.	705/26
*	B	US-6,035,287	03-2000	Stallaert et al.	705/37
*	C	US-2002/0128947	09-2002	Sauter et al.	705/37
*	D	US-7,133,847	11-2006	Himmelstein, Richard	705/80
*	E	US-7,124,106	10-2006	Stallaert et al.	705/37
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	M	US-			

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**NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	"Exchange-Traded Funds: An Introduction," by Gary L. Gastineau. Journal of Portfolio Management; Spring 2001; 27, 3; ABI/INFORM Global. Pgs. 88-96.
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	W	"Actively-Managed Exchange Traded Funds: Coming Soon to a Market Near You?," by Anthony Ragozino and Charlie J. Gambino. The Investment Lawyer; May 2001; 8,5; ABI/INFORM Global. Pgs 3-9.
	X	"The effect of country-specific index trading on closed-end country funds: an empirical analysis," by Mathew O'Conner and Edward A. Down. Financial Services Review 9 (2000). Pgs. 259-275.

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)

Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

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**NON-PATENT DOCUMENTS**

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